

2009

CALIFORNIA AWARDS FOR  
PERFORMANCE EXCELLENCE



# EUREKA AWARD APPLICATION FORMS & INSTRUCTIONS



ADMINISTERED BY  
*CALIFORNIA COUNCIL FOR EXCELLENCE*

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[www.caexcellence.org](http://www.caexcellence.org)

# CALIFORNIA AWARDS FOR PERFORMANCE EXCELLENCE



## Congratulations!

By supplementing your copy of the *2009 Criteria for Performance Excellence* with copy of the *2009 CAPE Award Application Forms & Instructions* booklet, you have taken the second step in using the CAPE process to improve your organization's performance and growth.

Now it is time to consider taking the next step: applying for the Eureka Award. For a nominal application fee, determined by the size and nature of your organization, your application will receive at least 300 hours of review by several certified CAPE Examiners selected for their depth and breadth of knowledge.

Site-visited organizations receive more than 1,000 hours of in-depth review. Each applicant receives an extensive feedback report. Because of the learning inherent in completing the application and in the feedback you will receive, the effort that goes into applying for the Award should result in a significant return on your investment. The process will help you prioritize opportunities for improvement and identify strengths to celebrate. As a result, the rate at which your organization improves should accelerate.

Every CAPE Award recipient's journey toward performance excellence includes using the application process as part of the organization's improvement and strategic planning process. Regardless of the award level bestowed (bronze, silver, gold, platinum), they *all* report that the process is worthwhile. The CAPE process is designed to make each applicant a "winner" by raising its performance to a higher level. Consider making the decision to apply now, and accelerate the rate of your organization's performance improvement!

Sincerely yours,

A handwritten signature in black ink, appearing to read "Tracy Barron".

Tracy Barron, Chair  
CAPE Council



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**What is the purpose of this booklet?**

The purpose of this booklet is to provide instructions and forms to participate in the California Awards for Performance Excellence (CAPE) Eureka process and applying for the Award.

**What is the Eureka Award?**

The Eureka Award is the highest level of statewide recognition for performance excellence that a California organization can receive in the following segments:

- Large Manufacturing (over 200 employees)\*
- Small Manufacturing (under 200 employees)\*
- Large Service (over 200 employees)
- Small Service (under 200 employees)
- Non-Profit
- Education
- Government
- Health Care
- Military

*\* The U.S. Senate Productivity Award is dedicated to manufacturing companies with the same four award levels as the above Eureka Award (Bronze – Platinum).*

The Governor’s Award for Excellence is selected among the Gold or Platinum level of awards who demonstrate world-class levels of Excellence.

There are four levels of awards:

1. Bronze
2. Silver
3. Gold
4. Platinum

The major focus of the Award is on performance in six key areas: product and service outcomes, customer focused outcomes, financial and market outcomes, workforce-focused outcomes, process effectiveness outcomes, and leadership outcomes. It is *not* given for specific products or services. To be selected as an award recipient, an organization must have a system that ensures continuous improvement in overall performance in the delivery of

products and/or services and that provides an approach for satisfying and responding to customers and stakeholders.

**Why was the Award established?**

The Award was established to promote the awareness of performance excellence as an increasingly important element in competitiveness. Not only does the Award recognize organizations with exceptional performance strategies, it also aims to increase understanding of the requirements for performance excellence. To accomplish this, the Award promotes information sharing on successful performance strategies and the benefits derived from using these strategies.

**Who may participate?**

Organizations that may apply include privately and publicly owned for-profit businesses and nonprofit organizations located or headquartered in California; for-profit and non-profit public, private, government, and education organizations that provide education services to students in California; and for-profit and nonprofit public, private, and government health care organizations that are located in California and are primarily engaged in providing medical, surgical, or other health care services directly to people. Subunits of organizations may also apply.

**Who is involved with the Award process?**

**CAPE Council:** The CAPE Council is responsible for the CAPE Program and the Eureka Award. The Council is comprised of 22 volunteer members who develop policies and procedures, training materials, program documents, conduct training to certify Examiners each year, recruit Examiners and Applicants, and oversee the examination process.

## THE CALIFORNIA AWARDS FOR PERFORMANCE EXCELLENCE EUREKA AWARD

### **California Council for Excellence (CCE):**

CCE is a non-profit corporation [501(c)3], responsible for the administration of the CAPE program, including: fee processing, coordination of training registrations, logistics, and providing staff support to the CAPE Council.

**Board of Examiners:** The Board of Examiners evaluates award applications and prepares feedback reports for the applicants. Each applicant is assigned to an Examination Team which evaluates the application, conducts the site visit, and prepares the feedback report. The board consists of leading experts from California businesses and health care, education, and nonprofit organizations.

**Panel of Judges:** This panel provides technical assistance to the Examination Teams, and recommends Award recipients. Judges represent all sectors of our state economy.

**Board of Directors:** This board oversees CCE, the non-profit corporation and its administration of programs. The board consists of distinguished leaders from all sectors of the California economy.

### **Some of the seven Baldrige Criteria Categories have different names in the sector-specific Criteria for Performance Excellence booklets. How do the Criteria Categories for Education and Health Care differ from the Business/Nonprofit Criteria Categories?**

There is a very close alignment among all three Criteria and their related Categories. Six of the seven Categories have the same title in all three Criteria. Variations on the title for Category 3, however, reflect differences in terminology among the three sectors: In the *Criteria for Performance Excellence* (referred to as the Business/Nonprofit Criteria), Category 3 is called “Customer

and Market Focus.” That same Category is called “Student and Stakeholder Focus” in the *Education Criteria for Performance Excellence* and “Focus on Patients and Other Customers” in the *Health Care Criteria for Performance Excellence*.

### **What is the basis for the Criteria?**

Criteria are developed from the state-of-the-art learning of private- and public-sector organizations that are working to achieve organizational performance excellence. The Criteria reflect validated, leading-edge practices for achieving performance excellence.

### **How do applicants benefit from applying for the Eureka Award?**

Each applicant gains an outside perspective on its organization based on 300 to 1,000 hours of review by members of the Board of Examiners. The results of this review are synthesized in a feedback report outlining strengths and opportunities for improvement based on the Criteria. Feedback reports are often used by organizations as part of their strategic planning process to focus on their customers and to improve results, as well as to help energize and guide their organizational improvement efforts.

### **How are Award recipients selected?**

Award applications are reviewed by a team from the Board of Examiners. The higher-scoring applicants receive site visits. The Panel of Judges reviews information obtained during these site visits and, based on this review, recommends Award recipients from among the site-visited organizations. The CCE Board of Directors then makes the final selection of Award recipients.

### **What does an organization receive if it is an Award recipient?**

Each Award recipient receives a crystal trophy bearing the CAPE logo, with the inscriptions “Eureka Award” and the award level. The award is presented in a special luncheon ceremony at our

## THE CALIFORNIA AWARDS FOR PERFORMANCE EXCELLENCE EUREKA AWARD

Spring conference. Please visit our website at [www.calexcellence.org](http://www.calexcellence.org) for dates and location of our annual conference. Award recipients may publicize and advertise their Awards.

### **Is the identity of applicants and the information submitted made available to the public?**

The identity of all applicants remains confidential unless the applicant is selected as an Award recipient. All information submitted by applicants also is treated as confidential. All Examiners are required to follow stringent confidential procedures when handling applicant information. However, please note that they are allowed to transfer information to team members via e-mail, hard mail, fax, and telephone, when confidentiality procedures are followed.

### **What is expected of Award recipients?**

Award recipients are required to share information about their exceptional performance practices with other California organizations. However, recipients are not required to share proprietary information, even if such information was part of their Award application. The principal mechanisms for sharing information are the annual Spring (Southern California) and Fall Conference (Northern California).

*If you plan to apply for the Award in 2009, the Intent to Apply Form for the 2009 cycle is due on June 10, 2009. It can be e-mailed, faxed, or sent via hard mail to our office (please see contact information on the cover of this booklet). You also will need the appropriate 2009 Criteria for Performance Excellence (Business / Non-profit, Education, or Health Care) for your particular organization. You can download a copy at our website: [www.calexcellence.org](http://www.calexcellence.org).*

**Intent to Apply Form**  
Due June 10, 2009

**Application Package**  
Due July 10, 2009

### **How do organizations apply?**

The application process consists of 1) completing and submitting an Intent to

Apply Form that is available on our website ([www.calexcellence.org](http://www.calexcellence.org)) and 2) preparing and completing an Award Application Package, including an application form and an application report. The application report must summarize the organization's practices and results in response to the requirements delineated in the Items of the Criteria for Performance Excellence. Instructions and forms for applying for the Award begin on page 9.

### **Award Application**

Applicants can submit their package to:

**California Council for Excellence**  
6410 Monero Drive  
Rancho Palos Verdes, CA 90275

Application packages must be postmarked by midnight, July 10, 2009. Please note: this submission requirement is different from the Baldrige National Quality Program which requires a receipt for postmarks.

The application fee (see pages 8 and 22) covers expenses associated with the review of applications and the development of feedback reports.

*CAPE highly recommends the workshop: "How to Complete a Successful CAPE Application" which teaches organizational leaders and staff how to write an application and prepare a successful package. Workshops are held throughout the year. For workshop dates, locations, and registration, please visit our website at [www.calexcellence.org](http://www.calexcellence.org).*



**Examiner Independent &  
Consensus Review**  
*(September - October 2009)*

The application is reviewed independently by members of the Board of Examiners. At the conclusion of this review, the application is reviewed jointly by a team of Examiners, led by a Senior Examiner.

**Site Visit Review**  
*(October - December 2009)*

A team of six to ten members of the Board of Examiners, led by a Senior Examiner, conducts on-site verification and clarification of the application. Site visits consist primarily of a review of pertinent records and data and interviews with senior leaders, employees, and process owners of key processes (whether directly employed by the applicant or not).

*CAPE highly recommends the workshop: "How to Prepare for a Successful Site Visit" which teaches organizational leaders and staff, the site visit process and how to prepare for the site visit examination. Workshops are held throughout the year. For workshop dates, locations, and registration, please visit our website at [www.calexcellence.org](http://www.calexcellence.org).*

If an organization is chosen for a site visit, the organization is responsible for paying a site visit fee, which covers the expenses associated with the site visit. More information on site visit fees is given on page 8. Additionally, the organization is expected to provide updates for all results provided in the application. These updates become part of the official application.

**Judges Review**  
*(December 2009)*

Following the site visit, the site visit team submits its report to the Panel of Judges. The Panel of Judges conducts final reviews and recommends Award recipients to Board of Directors. The Board makes the final determination of Award recipients.

**Feedback Reports**  
*(January 2009)*

Each applicant, including Award recipients, receives a feedback report. Feedback reports are prepared and distributed after it is determined either that the applicant will not move to the next level of review for the Eureka Award or that the applicant is a Eureka recipient. Feedback reports are prepared by members of the Board of Examiners based on applicants' responses to the Criteria for Performance Excellence and the site visit. The feedback reports contain applicant specific descriptions of strengths and opportunities for improvement based on the Criteria for Performance Excellence.

**Award Ceremony**  
*(March -April 2009)*

The Awards are presented at a special ceremony held during our annual Spring Conference.

**Executive Briefing**  
*(January - April 2009)*

Once an applicant receives its Feedback Report, an Executive Briefing can be requested. For a nominal fee of \$1500, an applicant can meet with the Senior Examiner who led the team examination process and feedback report preparation, to discuss the report and findings. The Lead Judge can also participate in the Executive Briefing for an additional \$1500.

## 2009 EUREKA AWARD PROGRAM PROCESSES AND TIMEFRAMES

### Application Fees

The chart below shows the 2009 application fees for various types of organizations. For the 2009 Award cycle, the appropriate fee must be submitted to CCE with the Eureka Award Application Package postmarked no later than **July 10, 2009**.

#### Fees for the 2009 Award Cycle

Applicant Segment	Fee
Large Manufacturing	\$4,950
Large Service	\$4,950
Small Manufacturing	\$4,250
Small Service	\$4,250
Non-Profit	\$3,950
University / College	\$3,950
Military	\$3,950
Government Agency	\$3,500
Healthcare	\$3,950
Education (K – 12)	\$1,950

### Site Visit Review Fee

This fee is paid only by applicants receiving site visits. The fee is based on actual costs incurred by the Examiners to conduct the site visit and include: travel, lodging, meals, car rental, and the team rents a conference room at the hotel to work in the evening. The assigned Senior Examiner prepares an estimated budget for the applicant's review. The budget is dependent on a number of factors, including the number of sites to be visited, the number of Examiners assigned, and the duration of the visit.

The site visit fee for applicants with more than 500 employees, and who have multiple sites, usually ranges between \$5,000 and \$10,000. The site visit fee for 500 or fewer employees with one to three sites, ranges between \$3,500 and \$5,000. A \$2,500 deposit shall be requested prior to site visit to assist the Examiners with their upfront expenses.

If some activities are performed outside the applicant's organization (e.g., by an overseas component of the applicant, the parent organization, or its other subunits), the applicant, if selected for a site visit, must make available in the United States (preferably in California), sufficient personnel, documentation, and facilities to allow a full examination of its operational practices for all major functions of its worldwide operations.

It is possible that a team may require to travel outside of California in order to evaluate an applicant's facility. These travel costs will be included in the budget estimate provided by the Senior Examiner. The decision to examine a facility outside of California is depend on several factors including: 1) the percent of the applicant's businesses conducted in those facilities, and 2) the percent of employees stationed in those facilities.



*Instructions for responding to the Criteria and writing the Organizational Profile are included in each of the three Criteria booklets. Use the Criteria appropriate for your sector or industry: the Criteria for Performance Excellence (used by businesses and nonprofit organizations), Education Criteria for Performance Excellence, or Health Care Criteria for Performance Excellence.*

**I. Purpose**

The purpose of this section is to provide applicants with instructions for preparing the Eureka Award Application Package. These instructions describe content, format, assembly, and submission requirements.

**II. Objective**

The objective of the Eureka Award Application Package is for the applicant to provide sufficient information to enable the Board of Examiners to conduct a rigorous evaluation.

Information is required on the applicant’s performance management system and on the results of its processes. All information provided is considered and treated as confidential.

**III. Content Requirements**

**A. Application Report: All Applicants**

An application report must contain the following in the order listed:

Front cover: blank (no text, pictures, or figures) to help ensure confidentiality

- Title page
- Each of the following sections separated by a labeled tab or a divider page. Please divide and label the sections accordingly.
  - Table of Contents
  - 2009 Application Form
  - Organization Chart(s)

- Glossary of Terms and Abbreviations
- Organizational Profile (five pages or less)
- Responses Addressing All Criteria Items (50 pages or less)
- Back cover—blank

**IV. Application Report Components**

Organizations must submit 25 paper copies of the application report and one copy on a CD, in PDF printable format (details under section VII Submission Requirements). The application report must contain the following in the order listed.

**A. Front Cover:** blank page (no text, pictures, or figures).

**B. Title Page:** with the name of the applicant. Applicants also have the option to include their address, pictures, and logo; the date; a statement indicating that this is an **Application for the 2009 Eureka Award**; and/or a statement regarding confidentiality of content. No further information or text about the applicant may be included on this page.

**C. Labeled Tabs or Divider Pages:** separating the sections of the report and containing only the title of the section. No further information, pictures, or text about the applicant may be included on the tabs or divider pages, or they will count toward the 50-page limit. The following tabs/divider pages must be included:

- Table of Contents
- 2009 Eureka Application Form
- Organization Chart(s)
- Glossary of Terms and Abbreviations, Organizational Profile
- Responses Addressing All Criteria Items: category tabs for responses addressing all criteria items.

## 2009 EUREKA AWARD APPLICATION PACKAGE AND INSTRUCTIONS

**D. Table of Contents:** indicating the page numbers of the following: the 2009 Eureka Application Form, the organization chart(s), the Glossary of Terms and Abbreviations, the Organizational Profile, and Responses Addressing All Criteria Items.

Pagination for Areas to Address, tables, and figures does not need to be included in the Table of Contents.

**E. 2009 Application Form** signed by the highest ranking official, indicating that the applicant agrees to the terms and conditions of the Eureka Award process and, if chosen, agrees to host a site visit; facilitate an open and unbiased examination; pay reasonable costs associated with the site visit; and, if selected as an Award recipient, share information on successful performance excellence strategies with other California organizations.

In the event that the applicant receives the Award, the applicant must be able to share nonproprietary information on the seven Criteria Categories at the Annual CAPE Conferences (Spring and Fall). Sharing beyond the conferences is on a voluntary basis.

**F. Line and Box Organization Chart(s)** Applicant organization chart(s) with sufficient detail for Examiners to understand the relationships among the applicant's subunits.

**For subunit applicants: subunit organization chart(s):** a line and box organization chart(s) of the parent or holding company showing where the applicant fits into the overall organization.

**G. Glossary of Terms and Abbreviations** used in the application report.

**H. Organizational Profile** outlining the applicant's organization and addressing what is most important to the overall organization, as well as the key factors

that influence how the organization operates and its future directions. A vital part of the overall application, the Organizational Profile is used by the Examiners throughout the application review process.

### **I. Responses Addressing All Criteria Items**

- Respond to each Item as a whole. Responses to the Areas to Address should emphasize the applicant's organization and performance system. To facilitate review by the Board of Examiners, respond to the Areas in the order given in the Items. The responses must contain the same Category and Item numerical designations as the 2009 Criteria. Applicants should denote the Areas to Address with letters a, b, c, and so forth, corresponding to each Area, such as 4.2a. Responses for multiple Areas may be grouped (e.g., 4.2 a,b).
- If an Area to Address does not pertain to the applicant's organization or performance system, provide a statement of one or two sentences explaining why the Area is not applicable. The Item/Area designator should be used as described under format requirements.

**J. Back Cover**—blank.

### **V. Format Requirements**

Application reports must meet the page limit, typing, and format requirements indicated below:

#### **A. Page Limits and Exclusions**

1. The Organizational Profile for the application report and for each supplemental section is **limited to the equivalent of five single-sided pages**. If the Organizational Profile exceeds the five-page limit, the excess pages will be counted as part of the page count for the Responses Addressing All Criteria Items. Guidelines for preparing the

## 2009 EUREKA AWARD APPLICATION PACKAGE AND INSTRUCTIONS

Organizational Profile can be found in each of the Criteria booklets.

2. In the application report, the Responses Addressing All Criteria Items are **limited to the equivalent of 50 single-sided pages**, which must include all pictures, graphs, figures, tables, and appendices. The responses must contain the same Category and Item numerical designations as the 2009 Criteria. Applicants should denote the Areas to Address with letters a, b, c, and so forth, corresponding to each Area, such as 4.2a. Responses for multiple Areas may be grouped (e.g., 4.2 a,b).
3. Examiners must base their evaluations solely on information contained within the application report. Please do not add links to information on intranet or Web sites.
4. The covers and divider pages/tab separators, which should contain only the title of the specified subject [i.e., Table of Contents, 2009 Application Form, Organization Chart(s), Glossary of Terms and Abbreviations, Organizational Profile, Responses Addressing All Criteria Items], will not be counted as part of the page limit in the application report. However, if these pages contain any additional material, such as text, quotations, graphs, figures, data tables, or pictures, they will be considered part of the 50 pages of the Responses Addressing All Criteria Items.
5. **If the Responses Addressing All Criteria Items exceed the 50-page limit, the applicant's Official Contact Point will be asked to identify which pages will be removed.**

**B. Paper size:** standard 8 1/2 x 11 inches.

**C. Text format—for an example, see**

[http://www.baldrige.nist.gov/Novel\\_Connect.htm](http://www.baldrige.nist.gov/Novel_Connect.htm)

1. Type style (font) and size: Use Times New Roman 10 point font or the equivalent.
2. Line spacing: Use an equivalent of two points of lead between lines. *Note: One point of lead equals 1/72, or 0.0138 inch.*
3. Type used in picture captions, graphs, figures, data tables, and appendices must be no smaller than 8 point font. If the table or graph is reduced from its original size for inclusion, applicants must use larger type sizes in preparing the original so that the reduced material in the application report meets the type size requirements. Type style and/or size need not be uniform throughout the application report so long as all styles and sizes meet the requirements. ***An application may be returned if graphs or text are illegible.***

**D. Page Format—for an example, see** [http://www.baldrige.nist.gov/Novel\\_Connect.htm](http://www.baldrige.nist.gov/Novel_Connect.htm)

1. The number of lines per page must not exceed 60, including the page headings. A blank line separating paragraphs is counted as a line.
2. Margins of at least 3/4 inch on the side of the page that is bound or fastened and at least 1/2 inch on the opposite side of the page are preferred.
3. Pages set up in a two-column format are preferred. Pages may be printed on both sides. (The total number of pages is limited to the equivalent of 50 single-sided pages for the Responses Addressing All Criteria Items and five single-sided pages for the Organizational Profile.)
4. Text pages should have portrait orientation. Graphs, figures, and

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data tables may have either portrait or landscape orientation.

### E. Numbering

The pages of the Responses Addressing All Criteria Items must be numbered consecutively from start to finish, e.g., 1, . . . , 50. Blank pages and tabs/divider pages should not be numbered. All figures should be numbered in sequence within each Item and Category, such as Figure P.1-1 or Figure 2.1-1, Figure 2.1-2, Figure 2.1-3, etc.

### VI. Assembly Requirements

**A.** All components of the application report **must be securely fastened to prevent separation during handling**. The use of clips or binders with easily opened pressure sensitive clips is discouraged.

**B.** The use of bulky binders or similar heavy covers is discouraged.

**C.** Video and audio tapes or other information aids are not acceptable and may not be included.

### VII. Submission Requirements

**A.** Applicants must submit a 2009 Eureka Award Application Package containing 25 individually bound paper copies of the complete application report.

**B.** Payment must be provided for the application fee. Fees are discussed on page 8 of this document. Please complete the Payment Form on page 22 and submit **with** your bound application report copies. Please do not include the form in your application reports. The application report copies will be disseminated to the Examiners for evaluation and therefore, should not include your payment details.

Please Indicate on the Payment Form your method of payment (check, money order, wire transfer, Visa, MasterCard,

or American Express). If paying by check or money order, please make it payable to the **California Council for Excellence** and include it in the Eureka Award Application Package.

### **Requirements for Submitting CD Copy:**

1. Please use a CD-R not CD-RW.
2. The application report must be a single, complete PDF file, not multiple PDF Files on the CD.
3. Include the application forms (pages 17-20).
4. Select the "embed fonts" option when creating the PDF file.
5. Insert page breaks and labeled divider pages between sections in the electronic file as described in section IV. C.
6. Proof your PDF file to ensure that it does not reflow onto extra pages and that all information, charts, graphs, etc., are appropriately retained.
7. When preparing the CD, please organize the disc so that it can be read from a standard CD-ROM drive.
8. Verify the content and number of pages, and verify that it prints properly (as the image on the screen is sometimes not what appears in print).
9. *Please label the disc with the name of the applicant and "Eureka Application 2009."*

**C. The 2009 Award Application Package must be postmarked or consigned to a delivery service no later than July 10, 2009 to be eligible for a 2009 CAPE Eureka Award.** One option to fulfill this requirement is to send the package via a delivery service (e.g., Airborne Express, Federal Express, United Parcel Service, or the United States Postal Service [USPS] Express Mail) that automatically records

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the mailing date. If the package is mailed through the USPS (via a service other than Express Mail), applicants may include a dated receipt from the post office in the package. However, a postmark is sufficient to demonstrate the deadline has been met. CCE and CAPE reserve the right to return submissions that are incomplete or submissions that do not meet the requirements given in the sections entitled "Content requirements" and "Format Requirements." Send the complete 2009 Eureka Award Application Package to:

**California Council for Excellence**  
Attention: MaryAnn Pranke  
6410 Monero Drive  
Rancho Palos Verdes, CA 90275



### Instructions

*Please provide all information requested. A copy of the 2009 Application Form must be included in each of the 25 paper copies of the application report and the electronic copy on the CD. Please contact the CCE office if you have questions or need any assistance in completing the forms, (858) 486-0400.*

***The application form is available as a separated document in PDF and word. Please see our website if you would like to download a copy in either version:  
([www.caexcellence.org](http://www.caexcellence.org))***

#### 1. Applicant

Provide the official name and mailing address of the organization applying for the Award.

#### 2. Award Category

Indicate the category under which the organization will apply for and which Criteria booklet is being used.

#### 3. Official Contact Point

As the examination proceeds, the applicant may need to be contacted for additional information or for site visit arrangement. Further communications between the applicant and the CCE office or the CAPE Senior Examiner assigned to the Examination Team, will be limited to this Official Contact Point or the Alternate Official Contact Point (see 4, below). The designated Official Contact Point should have both in-depth knowledge of the organization and a good understanding of the application.

Please also designate a person with authority who will be available to provide additional information, answer inquiries, and arrange a site visit, if necessary.

If the Official Contact Point changes during the course of the application process, please inform the CCE office.

#### 4. Alternate Official Contact Point

In the event that the Official Contact Point is not available, the Alternate Official Contact Point will be contacted to answer questions or

to convey a message to the Official Contact Point. Please designate a person who will be available during regular business hours.

#### 5. Release and Ethics Statements

- a. **Release Statement.** Please read this section carefully.
- b. **Ethics Statement and Signature of the Highest-Ranking Official.** The applicant's highest-ranking official must sign in the space provided, indicating that the applicant agrees to the terms and conditions stated in the Release Statement. In addition, the highest-ranking official's signature attests that no untrue statement of a material fact is contained in the Application Package and no omission of a material fact that is legally disclosable and affects the organization's ethical and legal practices has been made. Type below the signature the person's name and title, the applicant's name, and the highest-ranking official's address, telephone number, and fax number, as indicated.

#### 6. Award Application Copies

Please submit 25 copies of your application.

#### 7. Application Fees

Fee payment must be submitted with the application. The fees for the application report are depicted on page 8.

Please complete page 22 and submit the form and payment with your applications, but **do not include this form in your bound application reports**. You may also submit this form separately with payment information via fax or email. Please complete page 22 as follows:

Check the appropriate box to indicate which method of payment will be provided (check, money order, wire transfer, Visa, MasterCard, or American Express).

##### *Check or Money Order:*

Please make your check or money order payable to the California Council for Excellence. Include the check or money order with the Award Application Package.

## 2009 EUREKA AWARD APPLICATION INSTRUCTIONS

### *Wire Transfer:*

CCE must be contacted either by phone at (858) 486-0400 or by e-mail at [cce@caexcellence.org](mailto:cce@caexcellence.org) before a wire transfer is sent.

*VISA, MasterCard, American Express:* Fill in the information requested (card number, expiration date, printed name and signature of the card holder, billing address, and date signed).

The complete Award Application Package must be postmarked or consigned to a delivery service no later than July 10, 2009 to:

**California Council for Excellence**  
Attention: MaryAnn Pranke  
6410 Monero Drive  
Rancho Palos Verdes, CA 90275

The Eureka Award Application Package must include a postmark or other proof of the mailing date. One option to fulfill this requirement is to send the package via a delivery service (e.g., Airborne Express, Federal Express, United Parcel Service, or the USPS Express Mail) that automatically records the mailing date. If the package is mailed through the USPS (via a service other than USPS Express Mail), applicants may include a dated receipt from the post office in the package. However, a postmark will suffice for this requirement. CCE reserves the right to return incomplete submissions or submissions that do not meet the requirements given in the sections entitled "Content Requirements" and "Format Requirements."

### **8. Industrial Classification**

Using the three- or four-digit NAICS codes listed on page 21, provide up to three codes that best describe the applicant's products and/or services.

### **9. Size and Location of Applicant**

- Provide the total number of workforce members as of June 10, 2009.
- Check the appropriate financial descriptor (sales, revenues, or budgets) and the

appropriate range for the preceding fiscal year.

- Indicate the number of the applicant organization's sites. Offices or other work areas located near each other need not be counted as separate sites if they are considered to be one location for business and personnel purposes.
- State the approximate percentage (to the nearest whole number) of the applicant's employees who are located in and outside of California and the United States or its territories.
- State the approximate percentage (to the nearest whole number) of the applicant's physical assets located in and outside of California and the United States or its territories.
- Check the appropriate response.
- Check the appropriate response.
- Attach a line and box organization chart for the applicant. In each box, include the name of the unit or division and its head.

### **10. Subunits**

- Check all that apply.
- Provide the name and address of the parent (the highest level of an organization) and the name and title of the highest-ranking official of the parent. Provide the number of people in the worldwide workforce of the parent, including all subunits. Do not include joint ventures of the parent.
- Check the appropriate response.
- Briefly describe the major functions provided to the applicant by the parent or by other subunits of the parent.
- Briefly describe the applying unit's organizational structure and management links to the parent. *Attach a line and box organization chart(s) showing the relationship of the applicant to the highest management level of the parent, including all intervening levels. In each box, include the name of the unit or division and its head.*

## 2009 EUREKA AWARD APPLICATION INSTRUCTIONS

### 11. Key Business/Organization Factors

Provide the following information. As much as possible, please limit your answers to the space provided on the form. *For the purposes of the 2009 Award Application, "key" means those organizations that constitute 5 percent or more of the applicant's competitors, customers/users, or suppliers/partners.*

- a. List of key competitors
- b. List of key customers/users
- c. List of key suppliers/partners
- d. Description of the applicant's major markets (local, regional, national, and international)
- e. The name of the organization's financial Auditor
- f. The applicant's fiscal year

financial descriptor (sales, revenues, or budgets). Provide the approximate percentage of sales, revenues, or budgets accounted for by the output of each site (if a percentage of sales or revenues is not appropriate for a particular site(s), use "N/A" [not applicable]).

### 12. Confidential Considerations

Check "Yes" to demonstrate your understanding that Examiners will use telephones, including cell phones and cordless phones to discuss your application. Examiners will also transfer information via fax, e-mail, and hard mail, following stringent confidentiality procedures.

### 13. Site Listing and Descriptors

Provide the complete address of each site. If the applicant has foreign sites, these sites must be included on the form. Duplicate the Site Listing and Descriptors page if all sites cannot be listed on a single page. The application report must address activities in foreign sites in the appropriate Items. Although no site visits will be conducted at facilities outside the United States or its territories, these facilities may be contacted by teleconference or video conference. Sites located outside of California may be site visited depending on the information provided in this sheet and the application report. Check the appropriate type(s) of workforce members (employees, faculty, and/or staff). Some organizations may have both faculty and staff.

Provide the *number and type* of workforce members at each site. Check the appropriate



1. APPLICANT

Company Name

Address

City State Zip

2. AWARD CATEGORY

(check one)

- Large Manufacturing (over 200 employees)
Small Manufacturing (under 200 employees)
Large Service (over 200 employees)
Small Service (under 200 employees)
Non-Profit
Education
Government
Military
Healthcare

For small businesses, indicate whether the larger percentage of sales is in service or manufacturing. (Check one)

- Manufacturing Service

Criteria being used: (Check one)

- Business/Non-Profit Education
Health Care

3. OFFICIAL POINT OF CONTACT

Name

Title

Address (overnight mailing address, not PO Box)

City State Zip

Telephone Fax

Email

4. ALTERNATE OFFICIAL POINT OF CONTACT

Name

Title

Telephone Fax

Email

5. RELEASE AND ETHICS AND STATEMENTS BY HIGHEST RANKING OFFICIAL

a. Release Statement

We understand that this application will be reviewed by members of the CAPE Board of Examiners. Should our organization be selected for a site visit, we agree to host the site visit and to facilitate an open and unbiased examination. We understand that our organization must pay reasonable costs associated with a site visit. If our organization is selected to receive an Award, we agree to share non-proprietary information on our successful performance excellence strategies with other California organizations.

b. Ethics Statement and Signature of the Highest-Ranking Official

I state and attest that

- 1) I have reviewed the information provided by my organization in this Application Package.
2) to the best of my knowledge,
no untrue statement of a material fact is contained in this Application Package, and
no omission of a material fact that I am legally permitted to disclose and that affects my organization's ethical and legal practices has been made. This includes but is not limited to sanctions and ethical breaches.

Signature

Date

Printed Name

Title

Address

City State Zip

Telephone Fax

Email

6. AWARD APPLICATION COPIES

Please submit 25 copies of your Eureka award application. DUE DATE: JULY 10, 2009

7. APPLICATION FEES

A payment of \$ \_\_\_\_\_ is provided to cover one application report.



**8. INDUSTRIAL CLASSIFICATION**

List up to three of the most descriptive three- or four-digit NAICS codes (please see page 21).

a. \_\_\_\_\_ b. \_\_\_\_\_ c. \_\_\_\_\_

**9. SIZE AND LOCATION OF APPLICANT**

a. Total size of the workforce: \_\_\_\_\_ people.

b. For the preceding fiscal year,

▪ check one financial descriptor:

Sales  Revenues  Budgets

▪ check the range:

\$0 - \$1M  \$1M - \$10M  \$10M - \$100M

\$100M-\$500M  Over 500M

c. Number of sites: CA: \_\_\_\_\_

U.S./Territories: \_\_\_\_\_ Outside U.S.: \_\_\_\_\_

d. Percentage of employees: CA: \_\_\_\_\_

U.S./Territories: \_\_\_\_\_ Outside U.S.: \_\_\_\_\_

e. Percentage of physical assets: CA: \_\_\_\_\_

U.S./Territories: \_\_\_\_\_ Outside U.S.: \_\_\_\_\_

f. Operational practices associated with all major organizational functions must be accessible for examination in California. If some activities are performed outside the applicant's organization (e.g., by a component of the applicant that is outside of California, the United States or its territories, the parent organization, or its other subunits), will the applicant, if selected for a site visit, make available in the United States sufficient personnel, documentation, and facilities to allow full examination of its operational practices for all major functions of its worldwide operations?

Yes  No  Not Applicable

g. In the event the applicant receives an Award, can the applicant make available sufficient personnel and documentation to share its practices at the annual CAPE Spring or Fall Conference?

Yes  No

h. Attach a line and box organization chart for the applicant. In each box, include the name of the unit or division and its head.

**10. SUBUNITS**

a. Is the applicant \_\_\_\_\_ a larger parent or system? (Check all that apply)

- a subsidiary of  a unit of  owned by
- a division of  administered by
- controlled by  a school of

b. Parent organization ("Parent" means the highest organizational level)

\_\_\_\_\_  
Name

\_\_\_\_\_  
Address

\_\_\_\_\_  
City State Zip

Highest Ranking Official of Parent Organization

\_\_\_\_\_  
Name

\_\_\_\_\_  
Title

Size of the worldwide workforce of the parent:  
\_\_\_\_\_ people

c. Is the applicant the only subunit of the parent organization intending to apply? (check one)  
 Yes  No  Don't Know

d. Briefly describe the major functions provided to the applicant by the parent or by the other subunits of the parent. Examples of such functions, include but are not limited to, strategic planning, business acquisition, research and development, data gathering and analysis, human resources, legal services, fiancé or accounting, sale/marketing, supply chain management, global expansion, information and knowledge management, education/training programs, information systems and technology services, curriculum and instruction, and academic program coordination/development.



e. Briefly describe the organizational structure and relationship to the parent.

Please attach a line and box organization chart(s) showing the relationship of the applicant to the highest management level of the parent, including all intervening levels. Each box within the chart should include the name of the head of the unit or division.

**11. KEY BUSINESS/ORGANIZATION FACTORS**

List, briefly describe, or identify the following key organization factors. Be as specific as possible to help us avoid real or perceived conflicts of interest when assigning Examiners to evaluate your application. "Key" means those organizations that constitute 5 percent or more of the applicant's competitors, customers/users, or suppliers.

a. List of key competitors

b. List of key customers/users

c. List of key suppliers/partners

d. Description of the applicant's major markets (local, regional, national, and international)

e. The name of the organization's financial auditor

f. The applicant's fiscal year (e.g., October 1 – September 30)

**12. CONFIDENTIALITY CONSIDERATIONS**

I understand that CAPE Examiners are authorized to use cell phones, and cordless phones to discuss your application. Examiners are also allowed to transfer information via e-mail, fax, and hard mail while following stringent confidentiality procedures.

Yes  No



13. SITE LISTING AND DESCRIPTORS

The following information is needed by the California Council for Excellence Office to avoid conflicts of interest when assigning Examiners to evaluate your application and by Examiners in performing their evaluations.

EXAMPLE			
Address of Site(s)	<input type="checkbox"/> Number Employees <input checked="" type="checkbox"/> Faculty <input checked="" type="checkbox"/> Staff	<input type="checkbox"/> Percentage Sales <input type="checkbox"/> Revenues <input checked="" type="checkbox"/> Budgets	For each site, describe the relevant products, services, and/or technologies
Coyote Hall 85 Campus Way Albuquerque, NM 77351	381 Faculty 200 Staff	95%	Administrative headquarters, instructional and educational services
Cactus Hall 85 IT Parkway Bernalillo, NM 76052	17 Faculty 2 Staff	5%	Satellite campus for information technology instruction, including a technology lab

Address of Site(s)	<input type="checkbox"/> Number Employees <input type="checkbox"/> Faculty <input type="checkbox"/> Staff <i>(Check one or more above, and list below the number at each site.)</i>	<input type="checkbox"/> Percentage Sales <input type="checkbox"/> Revenues <input type="checkbox"/> Budgets <i>(Check one or more above, and list below the number at each site.)</i>	For each site, describe the relevant products, services, and/or technologies

Use as many additional copies of this form as needed to include all sites.

If you are unable to respond to any item, please contact the CCE Office at (858) 486-0400 before submitting your form.



# INDUSTRIAL CLASSIFICATION CODES (NAICS)

Code	Sector	Code	Sector	Code	Sector
111	Crop Production	444	Building Material and Garden Equipment and Supplied Dealers	611	Educational Services
112	Animal Production			6111	<i>Elementary and Secondary Schools</i>
113	Forestry and Logging	445	Food and Beverage Stores	6112	<i>Junior Colleges</i>
115	Support Activities for Agriculture and Forestry	446	Health and Personal Care Stores	6113	<i>Colleges, Universities, and Professional Schools</i>
211	Oil and Gas Extraction	447	Gasoline Stations	6114	<i>Business Schools and Computer and Management Training</i>
212	Mining (except Oil and Gas)	448	Clothing and Clothing Accessories Stores	6115	<i>Technical and Trade Schools</i>
213	Support Activities for Mining	451	Sporting Goods, Hobby, Book, and Music Stores	6116	<i>Other Schools and Instruction</i>
221	Utilities			6117	<i>Educational Support Services</i>
236	Construction of Buildings	452	General Merchandise Stores	621	Ambulatory Health Care Services
237	Heavy and Civil Engineering Construction	453	Miscellaneous Store Retailers	6211	<i>Offices of Physicians</i>
		454	Non-store Retailers	6212	<i>Offices of Dentists</i>
238	Specialty Trade Contractors	481	Air Transportation	6213	<i>Offices of Other Health Practitioners</i>
311	Food Manufacturing	482	Rail Transportation	6214	<i>Outpatient Care Centers</i>
312	Beverage and Tobacco Product Manufacturing	483	Water Transportation	6215	<i>Medical and Diagnostic Laboratories</i>
		484	Truck Transportation	6216	<i>Home Health Care Services</i>
313	Textile Mills	485	Transit and Ground Passenger Transportation	6219	<i>Other Ambulatory Health Care Services</i>
315	Apparel Manufacturing			622	Hospitals
316	Leather and Allied Product Manufacturing	486	Pipeline Transportation	623	Nursing and Residential Care Facilities
		487	Scenic and Sightseeing Transportation	624	Social Assistance
321	Wood Product Manufacturing	488	Support Activities for Transportation	711	Performing Arts, Spectator Sports, and Related Industries
322	Paper Manufacturing	491	Postal Service	712	Museums, Historical Sites, and Similar Institutions
323	Printing and Related Support Activities	492	Couriers and Messengers	721	Amusement, Gambling, and Recreation Industries
324	Petroleum and Coal Products Manufacturing	493	Warehousing and Storage	722	Accommodation
		511	Publishing Industries (except Internet)	722	Food Services and Drinking Places
325	Chemical Manufacturing	512	Motion Picture and Sound Recording Industries	811	Repair and Maintenance
326	Plastics and Rubber Products Manufacturing			812	Personal and Laundry Services
		515	Broadcasting (except Internet)	813	Religious, Grant making, Civic, Professional, and Similar Organizations
327	Nonmetallic Mineral Product Manufacturing	516	Internet Publishing and Broadcasting	814	Private Households
		517	Telecommunications	921	Executive, Legislative, and Other General Government Support
331	Primary Metal Manufacturing	521	Monetary Authorities- Central Bank	922	Justice, Public Order, Safety Activities
332	Fabricated Metal Product Manufacturing	522	Credit Intermediation and Related Activities	923	Administration of Human Resource Programs
333	Machinery Manufacturing			924	Administration of Environmental Quality Programs
334	Computer and Electronic Product Manufacturing	523	Securities, Commodity Contracts, and Other Financial Investments and Related Activities	925	Administration of Housing Programs, Urban Planning, and Community Development
		524	Insurance Carriers and Related Activities	926	Administration of Economic Programs
335	Electrical Equipment, Appliance, and Component Manufacturing			927	Space Research and Technology
336	Transport Equipment Manufacturing	525	Funds, Trusts, and Other Financial Vehicles	928	National Security and International Affairs
337	Furniture and Related Product Manufacturing			999	Unclassified Establishments
		531	Real Estate		
339	Miscellaneous Manufacturing	532	Rental and Leasing Services		
423	Merchant Wholesalers, Durable Goods	533	Lessors of Non-financial Intangible Assets (except Copyrighted Works)		
424	Merchant Wholesalers, Non-durable Goods				
425	Wholesale Electronics Markets and Agents and Brokers	541	Professionals, Scientific, and Technical Services		
441	Motor Vehicle and Parts Dealers	551	Management of Companies and Enterprises		
442	Furniture and Home Furnishings Stores				
443	Electronics and Appliance Stores	561	Administrative and Support Services		
		562	Waste Management and Remediation Services		



**Confidential Information**

Please do not include this form in your application in order to ensure the payment information is not disseminated to Examiners. You may include this form with payment in the same package with your bound application reports, or you may fax or email to CCE. Please contact CCE at (858) 486-0400, for any questions.

**Payment Amount:** \$ \_\_\_\_\_

**Please indicate which method of payment will be provided:**

- Check (enclosed)
- Money Order
- Wire Transfer
- Visa
- American Express
- MasterCard

**Check or Money Order:**

Please make your check or money order payable to the California Council for Excellence.

**Note: Please contact CCE before sending wire transfer: (858) 486-0400.**

\_\_\_\_\_  
Credit Card Number

\_\_\_\_\_  
Expiration Date

\_\_\_\_\_  
Today's Date

\_\_\_\_\_  
Billing Address for Credit Card

\_\_\_\_\_  
Authorized Signature

\_\_\_\_\_  
Printed Name

**Please send form, payment, and application copies to:**

**California Council for Excellence**  
Attention: MaryAnn Pranke  
6410 Monero Drive, Rancho Palos Verdes, CA 90275

**If you wish to email or fax form with payment information, please send to:**

Fax: (310) 265-0409  
Email: [maryann@caexcellence.org](mailto:maryann@caexcellence.org)



1. Application Form

a. Have all questions been answered completely?

Yes  No

b. Is a line and box organization chart(s) included that shows all components of the applicant organization and the name of the head of each unit or division?

Yes  No

2. Application Fee

a. Have you indicated on the Application Form your method of payment for the nonrefundable application fee (check, money order, wire transfer, VISA, MasterCard, or American Express)?

Yes  No

b. If paying by check or money order, is it payable to the California Council for Excellence and is it included in the application package?

Yes  No

3. Date of Submission

a. Is the Application Package being submitted on or before July 7, 2009?

Yes  No

4. Award Application Package

a. Does the Application Package include 25 individually bound paper copies of your application report and one electronic copy on CD-R in PDF printable format?

Yes  No

5. Application Report

a. Does each of the 25 paper copies of the application report contain the following sections separated by labeled tabs or divider pages?

- Blank front cover  Yes  No
- Title page  Yes  No
- Table of Contents  Yes  No
- 2009 Application Form  Yes  No
- Organization Charts  Yes  No
- 2009 Glossary of Terms  Yes  No
- Organizational Profile  Yes  No (five pages or less)

- Responses Addressing All Criteria Items (50 pages or less)  Yes  No
- Responses contain same Category and Item designations [i.e. 4.2a(1)]  Yes  No
- Figures are numbered in sequence within each Item & Category [i.e. Figure P.1-1, or Figure 2.1-1]  Yes  No
- Margin and font requirements are met (including fonts size for figures)  Yes  No
- Blank back cover  Yes  No

7. Send the completed Eureka Application Package to:

**California Council for Excellence**  
 Attention: MaryAnn Pranke  
 6410 Monero Drive  
 Rancho Palos Verdes, CA 90275

To be considered for the 2009 Award, applicants must send the 2009 Award Application Package on or before July 10, 2009 and the package must be postmarked by the deadline. One option to fulfill this requirement is to send the package via a delivery service (e.g., Airborne Express, Federal Express, United Parcel Service, or the United States Postal Service [USPS] Express Mail) that automatically records the mailing date. USPS (via a service other than Express Mail), the applicant may include a dated receipt from the post office in the package. However, the postmark will suffice to meet this requirement. Applicants are encouraged to submit the Award Application Package well ahead of the deadline to avoid delays.